

SPECIFIC GUIDANCE FOR RESPONDING TO THE ROSS-2000 NRA

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C.1 Introduction

C.1.1 General Provisions and Policies

- *Relationship of Appendices B and C.* The material in Appendix C augments and supplements the material in Appendix B of this NRA. In case of conflict, the material in Appendix C takes precedence.
- *Nominal Period of Performance for Selected Proposals.* Unless otherwise specified in Appendix A, the period of performance for a proposal submitted in response to this NRA is restricted to three years or less. For such multiple year awards, yearly funding allotments are provided only after the submission of an acceptable progress report. The period of performance for an Education/Public Outreach (E/PO) proposal is restricted to that of its “parent” research award (see Appendix A.10).
- *Unrestricted Freedom to Propose to this NRA.* NASA OSS welcomes proposals in response to this NRA from all qualified proposers. Participation in this program is open to all categories of U.S. and non-U.S. organizations, including educational institutions, industry, nonprofit institutions, NASA Centers, and other Government agencies. Historically Black Colleges and Universities (HBCU’s), other minority educational institutions, and small businesses and organizations owned and controlled by socially and economically disadvantaged individuals or women are particularly encouraged to apply. In accordance with Federal statutes and NASA policy, no eligible applicant shall be excluded from participation in, denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NASA on the grounds of race, color, creed, age, sex, national origin, or disability.
- *Opportunity to Propose Educational/Public Outreach Activities.* Educational/Public Outreach (E/PO) activities are now considered vital and integral parts of all NASA space science missions and research programs. Therefore, NASA OSS encourages proposers to this NRA to submit an E/PO proposal as a supplement to their “parent” research proposal in accordance with the guidelines given in Appendix A.10. Additionally, any existing multiple year OSS research award having at least one full year remaining in its period of performance can serve as a “parent” proposal for an E/PO supplement; therefore, the Principal Investigators of such awards are encouraged to propose E/PO activities.
- *Anticipated Level of Competition for Selection.* Regardless of the budgets that are indicated as available in Appendix A for the various programs, prospective proposers are advised that competitions for NASA programs have traditionally been extremely competitive. In the last several years, because of the shortage of resources, typically as few as one out of four to five proposals have been selected for funding.

- *Public Access to Data.* As a matter of NASA policy, all data taken or products created in the performance of a NASA research award are considered to be public domain. In addition, NASA may judge that new data or products (including items produced in the pursuit of an Education/Public Outreach proposal) obtained through an investigation selected through this NRA may be of value to the science and/or education communities at large. If so, NASA reserves the right to direct that such items be deposited in an approved publicly accessible site and, if so, will negotiate appropriate funding to enable such activities (e.g., the reduction and calibration of the data into a format amenable for use by peer scientists).

- *Data and Computational Infrastructure.* Information on current space science data centers and services can be found on the World Wide Web at <http://ssds.nasa.gov> , whereas information on high performance computing resources can be found at <http://spacescience.nasa.gov/hecc>.

Any need for high performance computing resources for the proposed research should be explicitly described in the proposal, including the computing system, location, and an estimate of the amount of computing time needed.

- *Late proposals.* NASA's general policy on late proposals is given in Part (g) of Appendix B and states that such a proposal may be considered only if it is judged to be in the best interests of the Government. Owing to the historically large over-subscription of proposals for NASA's programs, a proposal submitted after the published deadline is unlikely to be considered of uniquely greater value to NASA than the proposals that are submitted on time. Finally, note that processing delays at the proposer's home institution or its method of shipping does not excuse the late submission of a proposal.

C.1.2 Types of Proposing Institutions

NASA OSS accepts proposals in response to its NRA's from all types of U.S. and non-U.S. institutions (proposals from non-U.S. institutions must adhere to the provision of Section 4 of this Appendix). As an aid to NASA in deciding on the appropriate type of award or agreement in the event that the proposal is selected, one of the categories listed below must be indicated at the appropriate line on the proposal's *Cover Page* (see Section 5.3 of this Appendix):

- *Educational institution* -- A university or two- and four-year college (including a U.S. community college) accredited to confer degrees beyond that of the K-12 grade levels (all such institutions are considered by NASA as nonprofit).
- *Nonprofit, nonacademic organization* -- A private or Government supported research laboratory, university consortium, museum, observatory, or similar organization that supports advanced research but whose principal charter is not for training of students.

- *Commercial organization* -- An organization of any size that operates for profit (fee basis) and with appropriate capabilities and interests to conduct basic research in science.
- *NASA Center* -- All NASA Field Centers and the Jet Propulsion Laboratory.
- *Other Federal Agency* -- Any non-NASA, U.S. Federal Executive agency or Federally Funded Research and Development Center (FFRDC) sponsored by a Federal agency.
- *Unaffiliated U.S. resident* -- Any person residing in the U.S., whether a U.S. citizen or resident alien, who has the capabilities and access to facilities for carrying out the proposed project and who, if selected, agrees to fiscal arrangements that, in NASA's opinion, ensures responsible management of appropriated Federal funds.
- *Non-U.S. Organization* -- Institutions outside the U.S. that propose on the basis of a policy of no exchange of funds (consult Section (I) of Appendix B for specific details).

C.1.3 Proposal Personnel

Every organization submitting a proposal in response to this NRA must designate a single *Principal Investigator* (PI) who will be responsible for the quality and direction of the entire proposed investigation and for the use of all awarded funds. Note that NASA does not accept the designation of a "Co-Principal Investigator;" there must be only one PI who is solely responsible for an investigation.

NASA strongly encourages proposers to identify only the most critically important personnel to aid in the execution of their proposals. Should such personnel be required, *Co-Investigators* (Co-I's) may be identified who are critical for the successful completion of an investigation through the contribution of unique expertise and/or capabilities, and who serve under the direction of the PI, regardless of whether or not they receive compensation directly under the award. A Co-I must have a well-defined role in the investigation that is explicitly defined in the Management section of the proposal (see Section 5.3 below). In addition, for all proposals submitted in response to this NRA, evidence of the commitment of a Co-I to participate in the proposed investigation is required by way of a brief letter from him/her even if they are from the same institution as that of the PI (see Section 5.3 below).

There are two informal subcategories of Co-I's that a proposal may identify in its Management section (see Section 5.3 below), as appropriate:

A Co-I may be additionally designated as the *Science PI* for those cases where the proposing institution does not permit that individual to formally serve as the PI as defined above. In such a case, the Science PI will be understood to be in charge of the scientific direction of the proposed work, although the formally designated PI is still held responsible by NASA for the overall direction of the effort and the use of funds.

A senior, leading Co-I may be additionally designated as an *Institutional PI* if his/her institution is committed to make a major contribution to a proposal

submitted by a PI from another institution, e.g., a substantial portion of an experimental investigation. At the recommendation of the responsible Discipline Scientist, NASA may elect to provide an award directly to that Co-I institution with the Institutional PI serving as the “PI” for what otherwise would be a subcontract from the proposing PI institution. However, in such a case, the proposal’s designated PI is still held responsible by NASA for the overall scientific direction of the proposed effort.

Finally, proposals may also identify unfunded Collaborators who are less critical to the overall proposal than a Co-I but who are committed to provide a specific contribution to the proposed task. As for Co-I’s noted above, proposals submitted in response to this NRA must include a brief letter of commitment from each Collaborator that describes their specific, intended contribution to the investigation.

C.1.4 Proposal Evaluation

Although OSS secures scientific and technical evaluations from appropriately qualified peers of the proposers, proposers are expected to provide sufficient detail to enable evaluation by persons who are knowledgeable of but not necessarily specialists in the proposed research. The evaluation criteria in part (i) of Appendix B, as amended below, applies to this NRA:

"(i) Evaluation Factors.

"(1) Unless otherwise specified in the NRA, the principal criteria that apply in evaluating a proposal are its intrinsic merit, its relevance to NASA's objectives, and its cost, where the first criteria is weighted approximately twice that of the second, and the second criteria is weighted approximately three times that of the third.

(2) Evaluation of intrinsic merit includes consideration of the following factors listed in approximate order of decreasing importance:

- The overall scientific and/or technical merit of the proposal and/or unique and innovative methods, approaches, concepts, or advanced technologies demonstrated by the proposal, and the potential impact of the proposed research to its field;
- The qualifications, capabilities, and experience of the proposing Principal Investigator and all other personnel who are proposing to help achieve the proposal's objectives;
- The proposing institution’s capabilities, related experience, facilities, techniques, or unique contributions of these that are integral factors for achieving the proposal objectives; and
- The overall standing of the proposal against the known state of the art.

(3) Relevance to NASA’s objectives shall mean relevance to the specific objectives and goals as described in this NRA for which the proposal is submitted,

as well as more generally to the NASA OSS science themes and goals as defined in the most current OSS strategy documents.

(4) Evaluation of the cost of a proposed effort shall include the realism and reasonableness of the proposed cost with respect to the proposed effort.

C.1.5 Proposal Selection and Implementation

Following peer evaluation, the cognizant Discipline Scientist will further review the scientifically and technologically top rated proposals against the programmatic objectives, program balance, and financial resources available for that Cluster. Based on these factors, including judgment of the comparison of the scope and importance of the proposed investigation to its cost, the Discipline Scientist then will present a recommendation for selection to the NASA Selecting Official (identified in this NRA's covering summary letter). A critical consideration in the selection of proposals for funding will be to maximize scientific return within the available budget. To achieve this objective, NASA will weigh the proposed costs of those proposals deemed meritorious against the available funding; final selection will reflect an appropriate balance. The Selecting Official will select for funding those proposals deemed worthy as judged against all of the evaluation criteria and for which financial resources are available. The Selecting Official will also decide on the selection of Education/Public Outreach (E/PO) proposals of merit that are associated with those research proposals being considered for selection. An E/PO proposal of merit will be used as an additional factor to discriminate between research proposals of otherwise equal merits as described in Section C.1.4.

Each proposer will be notified by postal or electronic mail of their selection or nonselection and offered a debriefing to explain that decision. Note that NASA reserves the right to offer selection of only a portion of a proposed investigation; in such a case the proposer will be given the opportunity to accept or decline the offer. Those recommended for selection will be informed of the recommended amount of their award and that their organization will be contacted by a NASA Procurement Office to arrange for an appropriate funding instrument (e.g., a grant, contract, or work order). In all cases, awards are made to the proposing institution, not directly to the proposal's PI. No financial commitment on the part of NASA or the Government may be inferred from any communication, even if in writing, from the NASA Discipline Scientist or Selecting Official. Only a NASA Procurement Office can make financial commitments, obligations, or awards on behalf of the Agency and authorize the expenditure of funds.

C.2 Notice of Intent to Propose

In order to plan for a timely and efficient peer review process, *Notices of Intent* (NOI's) to propose are requested by the date given in the summary cover letter of this NRA. The submission of a NOI is not a commitment to submit a proposal, nor is information contained therein considered binding on the submitter. NOI's are to be submitted electronically by entering the requested information through the World Wide Web site identified in Appendix A, which will request at least the following information:

- reference to this NRA by its alpha-numeric identifier (Note: this may be included on the Web site template);
- the program component from Appendix A for which a proposal may be submitted (Note: the Web site may provide a menu from which the appropriate component may be selected);
- the Principal Investigator's name, physical location mailing address, phone number, and E-mail address;
- the name(s) and institution(s) of any Co-Investigator(s) known by the NOI due date;
- a "Yes/No" indication of the intent to submit an E/PO proposal;
- a descriptive title of the intended investigation; and,
- a brief description of the investigation to be proposed.

Additional information may be requested specific to the program description in Appendix A. A separate NOI must be submitted for each intended proposal. Note that this NOI may also be the preliminary version of the proposal *Cover Page/Proposal Summary*; if so, the Web site will provide a password to the user for future use in updating this information for the final *Cover Page/Proposal Summary* as the deadline for submission of the final proposal approaches (see further discussion in Section C.5.3 below).

C.3 "Renewal" Proposals

Holders of existing research awards frequently propose in response to successive NRA's in the same program area in order to extend an ongoing research activity to its next logical step. However, in order to ensure equitable treatment of all submitted proposals, NASA OSS does not extend any special consideration to such proposals in terms of preferential handling, review, or priority for selection. Therefore, OSS does not recognize or use the term "renewal proposal" as discussed in Part (d) of Appendix B. Instead, all proposals in response to OSS NRA's are considered "new" regardless of their previous history of NASA funding. Nevertheless, such follow-on proposals are welcome and encouraged and should indicate relevant achievements made during the course of any previously existing award in its *Scientific/Technical/Management Section* (see below in Section C.5.3).

However, in order to allow their identification and assessment of previous achievements, proposers who seek to extend the thrust of an existing research activity for which NASA funding will expire in the current Fiscal Year should enter the existing NASA grant or contract number in the designated field on the proposal *Cover Page* (see Section 5.3 below for details). Such follow-on proposals must otherwise fully comply with all guidelines for preparation, content, and submission as outlined in this NRA, and they will be reviewed on an equal basis with all other submitted proposals. If such a follow-on proposal is selected, it is now NASA policy to fund the follow-on investigation through a totally new award having a new award number whose starting date follows that of the expiration date of the existing award.

C.4 Guidelines for International Participation

Guidelines for proposals involving non U.S. participation either as the Principal Investigator or as a Co-Investigator must follow the guidelines given in Section (I) of Appendix B. Note especially the requirement for the submission of a letter of endorsement from the government agency or funding/sponsoring institution that is sponsoring the non U.S. participation.

C.5 Guidelines for Preparation of Proposals

C.5.1 Standard Default Formats

The standard, default formats for all proposals submitted in response to this NRA are as follows:

- Typewritten English text using an easily read font having ≤ 15 characters per inch on white, 8.5x11 inch paper (or A4 stock for non-U.S. proposals).
- Single or double column format with at least 1 inch (2.5 cm) margins all around.
- Double-sided printing preferred but not required.
- Bound only with metal staples to facilitate recycling (i.e., no cardboard or plastic covers or permanent binders), with the original copy bound in a manner that allows easy disassembly should NASA need to make additional copies.
- No fold out pages, colored illustrations, or photographs unless critical for the unique display of important proposal data.
- No material submitted on any type of electronic media, nor reference to World Wide Web sites for material needed to complete or review the proposal.
- Use of only metric and standard astronomical and engineering units.
- Strict adherence to the fixed page limits given in Section C.5.2.

C.5.2 Checklist For Proposal Preparation and Submission

Details for each item are given in the same order in Section C.5.3.

PRESUBMISSION ACTIVITIES

- *Notice of Intent (NOI) to Propose* - The NOI is electronically submitted to the World Wide Web site given in the program component of interest in Appendix A and by the date given in the cover summary letter of this NRA (this Web site will be open for submissions starting approximately 30 days prior to the due date for the NOI and 90 days prior to the due date for the proposals themselves).

- *Cover Page/Proposal Summary* - The information required for the Cover Page/Proposal Summary is initially entered on the World Wide Web site given in the program component in Appendix A and according to the directions below. It is then printed out in hard copy by the proposer in order to secure original signatures as required for submission with the copies of the proposal itself by the deadlines in the cover letter (this Web site will be open for submissions approximately 45 days prior to the due date for the proposals themselves)..

CONSTITUENT PARTS OF A PROPOSAL (in order of final assembly)

	<u>PAGE LIMITS*</u>
— <i>Cover Page/Proposal Summary</i>	Per printout from Web
— <i>Table of Contents</i>	1
— <i>Summary of Personnel, Commitments, and Costs</i>	1
— <i>Scientific/Technical/Management Section</i>	≤15**
— <i>References</i>	None
— <i>Facilities And Equipment</i> (as needed and appropriate)	≤2
— <i>Education/Public Outreach</i> (optional)	Per printout from Web
— <i>Curriculum Vitae</i>	for the PI: ≤3 For each Co-I: ≤1
— <i>Current and Pending Support</i>	None
— <i>Statement(s) of Commitments from Co-I's and/or Collaborators</i>	None
— <i>Research Budget Summary and Details</i>	None
— <i>Reprints/Preprints</i> (optional; maximum of 2)	N/A

* where each side of a sheet containing text or illustration counts as a page and each “n-page” fold-out counts as n-pages.

** including illustrations, tables, and figures, unless otherwise specified in Appendix A.

SUBMISSION ACTIVITIES

- *Cover Page/Proposal Summary* - print out final and complete version from specified Web site in time to secure the Principal Investigator and Authorizing Institution signatures, and to produce the required number of hard copies to be submitted (originally signed *Cover Page/Proposal Summary* to preface original of proposal).
- *Education/Public Outreach Proposal* (optional) - print out final and complete version from specified Web site in time to include as part of final hard copy of proposal.
- Provide for delivery of the specified number of hard copies (15 plus signed original unless otherwise specified in Appendix A) of the proposal to the correct address by close of the normal business day on the specific Due Date (see the summary cover letter for submission date and the relevant section in Appendix A of this NRA for the submission address).

C.5.3 Details of Proposal Contents

All proposals in response to this OSS NRA should be assembled with the following parts (note that some are as required or optional) in the order listed. Proposals that omit any of their required parts will be returned without review. The individual science program component descriptions in Appendix A may also ask for materials in addition to these items. For convenience, each of the items below is cross-referenced to the corresponding part of Appendix B of this NRA. Note: Several parts of Appendix B are not cited but should also be considered for a complete understanding of all the policies and provisions for proposals solicited through this NRA.

- *Cover Page/Proposal Summary* [Appendix B.(c)(1) and (3)]

All proposals must be prefaced by an integrated *Cover Page/Proposal Summary* that contains important, required information (see below). This item is produced by first entering the requested information electronically through a World Wide Web site (specified for each program component described in Appendix A) and then printing out this form by the proposer. Note that a sample of this Web form may be printed out at any time for preliminary inspection, and that the only valid format for submission of this item is through the Web. The printed copy of the electronically submitted form is then used to obtain original signatures of the PI and an official from the proposing institution to submit with the original copy of the proposal.

Upon accessing the specified Web site, at a minimum the following information for the *Cover Page* will be requested:

- Alpha-numeric identifier of this NRA and full name of the NASA Research Announcement (Note: these may already be included on the electronic form through use of a menu).

- Name of program component within this NRA to which the proposal is directed.
- Name and full institutional physical location mailing address of the proposing Principal Investigator, telephone and facsimile numbers, and E-mail address (Note: an open block for signature and date will be provided on the printed hard copy).
- Full descriptive title of proposed investigation.
- Abbreviated title of proposed investigation (limited to 50 characters).
- NASA Grant or Contract Number of any current NASA award that the PI may hold that is a logical predecessor of the newly proposed work.
- Names, institutional affiliations, and E-mail addresses of any Co-Investigators (see definition of Personnel in Section C.1.3; also note that all listed Co-I's must also be functionally identified in the proposal – see Section C.5.3).
- Names, institutional affiliations, and E-mail addresses of any Collaborators (see definition of Personnel in Section C.1.3).
- The physical mailing address, telephone number, and E-mail address of the office of sponsored programs at the proposing institution.
- Institutional endorsement, including the name and title of the Authorizing Official, name of proposing institution (Note: an open block for signature and date will be provided on the printed hard copy).
- Designation of the type of institution per the definitions in Section 1.2 above.
- A “Yes/No” indication whether an E/PO proposal is also submitted.
- The budget for any optional E/PO proposal that is submitted with the proposal both by year and for the total proposed period of performance.
- The budget for the proposed research task both by year and for the total proposed period of performance.

A block of space (≤ 2000 characters, including spaces, or about one-half page using the formats specified above) will be provided in the electronic *Cover Page/Proposal Summary* form for a self-contained *Proposal Summary* of the proposed research activity. Note that the electronic site is configured to allow this submission by transfer from any standard word processing software. The *Summary* provides background and perspective to the interested reader and, therefore, must include the following information:

- A description of the key, central objectives of the proposed research in terms sufficient for a non specialist to grasp its essence and a statement of methods proposed to accomplish those proposed objectives;
- The perceived significance of the proposed work to NASA OSS interests; and
- If the proposal contains a Education/Public Outreach proposal, a two or three sentence summary of the intended activity.

Special conditions and instructions concerning the *Cover Page/Proposal Summary*:

- 1) Changes (such as whiteout or strikethrough) to the printed *Cover Page/Proposal Summary* are not permitted. Any needed changes to the information submitted electronically may only be made by editing the electronic submission by following the instructions of the Web page, after which the final *Cover Page/Proposal Summary* is then printed in order to secure the necessary signatures.
- 2) The authorizing institutional signature on the *Cover Page* certifies that the proposing institution has read and is in compliance with the three required certifications printed in full in Section C.6 of this Appendix; therefore, it is not necessary to separately submit these certifications with the proposal.
- 3) Electronic submission of a *Cover Page/Proposal Summary* does not satisfy the deadline for proposal submission. The required number of proposal copies (see cover letter), must be received at the indicated address by the proposal due date.
- 4) NASA OSS publishes the names of the proposal, the PI, and the proposing institution, and the *Proposal Summary* of every selected investigation in a public data base (e.g., see "Selected Investigations" on menu at Web site <http://spacescience.nasa.gov/codesr/welcome.html>). Therefore, the *Summary* should not include proprietary information that precludes its unrestricted release (see also Appendix B, (a)(2) and (c)(2)).

- *Table of Contents*

A one page *Table of Contents* should identify each of the key parts of the proposal, as well as the subsections of the proposal's central *Scientific/Technical/Management Section*. Each of the proposal's sections may be individually numbered.

- *Summary of Personnel, Commitments, and Costs*

The proposal must contain a one page summary list, in simple tabular form, that gives the names and intended work commitment for the PI and for every Co-I of the proposed investigation both in time (rounded to the nearest 0.01 of a Work Year of typically 1880 hours) and unburdened salary (rounded to the nearest \$1K) for each year of the proposed period of performance (Note: "unburdened" means without addition of overhead or fees). These entries of commitments should be shown separately for the research effort and for any proposed E/PO proposal. In addition, this list must contain the name(s) of any collaborator(s) associated with the proposal.

- *Scientific/Technical/Management Section* [Appendix B.(c)(4), (c)(5), and (c)(6)]

This *Section* is the main body of a proposal and should cover the following topics in the order given, all within the specified page limit:

- The objectives and expected significance of the proposed research, including a complete description of any instruments or hardware proposed to be built in order to carry out the research (note: see also the *Facilities and Equipment* section below for the description of critical equipment needed for carrying out the proposed research);
- The perceived impact of the proposed work to the state of knowledge in the field and, if the proposal is a direct extension of an existing OSS award, how the proposed work is expected to build on and otherwise extend the previous accomplishments to date;
- The technical approach and methodology to be employed in conducting the proposed research, including any special facilities of the proposing institution(s) and/or capabilities of the proposer(s) for carrying out the work;
- The relevance of the proposed work to past, present, and/or future NASA OSS programs and interests or to the specific objectives given in this NRA;
- An outline of the general plan of work, including anticipated key milestones for accomplishments and the management structure for the personnel involved; and
- A statement of the expected contribution by the PI and each Co-I identified on the proposal, whether or not they derive support from the proposed budget (Note: Co-I's who have either insignificant or unjustified roles will be considered a weakness for purposes of the evaluation of the proposal).

The *Scientific/Technical/Management Section* may contain illustrations that amplify and demonstrate key points in the main text of the proposal (including milestone schedules, if appropriate). Any illustrations and figures must be of publication quality, of an easily viewed size, and have self-contained captions that do not contain critical information not provided elsewhere in the proposal.

- *References*

All citations given in the *Scientific/Technical/Management Section* must be included in a list of references, which should include the full title of the paper and/or book, as appropriate, and an easily understood abbreviation of the publication.

- *Facilities and Equipment*

[Appendix B.(c)(7)]

As appropriate, this section should describe any facilities (including any U.S. Government owned facilities) and/or major equipment critical for carrying out the proposed project that are already available or would need to be purchased in order to carry out the proposed investigation. In the latter case, these costs should be entered in the required proposal *Budget Summary* and described in accompanying budget details.

- *Education and Public Outreach (E/PO) Proposal* (optional)

[Appendix A.10]

Proposals for E/PO efforts are strongly encouraged as an addition to any research proposal submitted in response to this NRA. The inclusion of an E/PO proposal of high merit will be used as an additional factor to help discriminate between research proposals of similarly high scientific, programmatic, and financial merits. An E/PO proposal must be submitted through a designated Web site (see Appendix A.10 in this NRA) and is then printed out for submission in hard copy with its parent research proposal. Part of this Web submission requires a summary of the E/PO budget (both total and by year) using the same format and categories shown for the research Budget Summary form shown in Section C.6 below. Therefore, the printout of the E/PO proposal will include its budget sheets. Note: Unlike previous OSS NRA's it is not necessary to integrate the E/PO budget with that of the parent research proposal. However, it is necessary to state the E/PO budget summary numbers on the proposal *Cover Sheet* (see above).

- *Curriculum Vitae*

[Appendix B.(c)(6)]

The PI must submit a *Curriculum Vitae* (not to exceed three pages) that includes his/her professional experiences, positions, and a bibliography of publications relevant to the proposal. The proposal must also include a one page *Vitae* for each key Co-I (unless otherwise specified in the Program Element in Appendix A). A Co-I who serves as a Science or an Institutional PI (see section C.1.3 above), or as the lead Co-I for an E/PO proposal, may submit a *vitae* using the same page limit as for the PI. *Vitae* from Collaborators are not to be submitted.

- *Current and Pending Support*

[Appendix B.(c)(10)]

Information must be provided for all ongoing and pending projects and proposals that involve the proposing PI and any Co-I's who are either expected to perform a significant share of the proposed work (e.g., as a Science or as an Institutional PI (see section C.1.3 above)), or who are proposed to receive support through the proposal. Information is required for each of two categories of support awards that may exist at the time of the proposal submission deadline, namely,

- a) Current Support (for any of the period that overlaps with the proposal being submitted to this NRA) and
- b) Pending Support (including the proposal to this NRA).

For each of these categories, provide the following information for each such key individual on the proposal team as noted above:

- Title of award or project;
- Program name (if appropriate) and sponsoring agency or institution (including point of contact);
- Proposed period of performance and budget; and
- Commitment in fractions of a full time Work Year (WY = 1880 hr).

In addition, provide the name of any other institution, including point of contact with telephone number, to which the proposal submitted to this NRA, or any part thereof, has been or will be submitted for consideration of funding. For such pending research, the PI's must notify the relevant Discipline Scientist immediately of any successful proposals that are awarded anytime after the proposal submission date until the time of selections.

• *Statement(s) of Commitment from Co-I's and/or Collaborators*

Every Co-I and Collaborator (including those from a non-U.S. institution) identified as a participant in the proposal must submit a brief, signed statement of commitment that acknowledges his/her participation even if they are from the PI's own institution. In the case of more than one Co-I and/or Collaborator, a single, multiply-signed statement is acceptable. Each statement should be addressed to the PI, may be a facsimile or E-mail, and must contain the following, or approximately similar, language:

“I(we) acknowledge that I(we) am(are) identified by name as Co-Investigator(s) [or Collaborator(s)] to the investigation entitled <name of proposal> that is submitted by <name of Principal Investigator> to the <name of Announcement> NASA Research Announcement, and that I(we) intend to carry out all responsibilities identified for me(us) in this proposal. I(we) understand that the extent and justification of my(our) participation as stated in this proposal will be evaluated during peer review in determining the merits of this proposal.”

• *Budget Summary and Details*

[Appendix B.(c)(8)]

Proposals must contain a *Budget Summary* (format given in Section c.6 of this Appendix) for each year of the proposed effort, as well as for the total period of performance, filled out in accordance with the following *Instructions for Budget Summary*. The Web site where this NRA is posted also has this form identified for downloading. Note especially the following important considerations:

(i) If a proposal is selected for award, failure to adequately address the provisions of the instructions for item 2.c will require that NASA contact the proposing institution for the required information. Such activity may delay the award until the purchase is either justified as a direct charge for general purpose equipment or is budgeted as an indirect expense.

(ii) If a PI from a non-Government institution proposes to team with a Co-I from a U.S. Government institution (for this purpose, JPL is considered a NASA Center), then the institutional budget for that Government Co-I is to be included in the proposal's *Budget Details*, and the cost for this Government Co-I is to be listed on line 4, "Other Applicable Costs," of the *Budget Summary*. If the proposal is selected, NASA will execute an inter- or intra-Agency funds transfer, as appropriate, to cover the cost of the Government Co-I. Conversely, if a Government PI institution teams with a private sector Co-I institution, that Government institution is expected to cover such Co-I costs through a subcontract that they execute. Therefore, such private sector Co-I costs should be entered on line 2.a, "Subcontracts," on the *Budget Summary*.

(iii) The proposing (PI) institution must subcontract the funding of all proposal Co-I's who reside at other institutions (except for a Government Co-I for a private sector PI as noted above) unless specifically noted otherwise as a special provision in Appendix A; that is, NASA will not separately make awards to Co-I's at distributed institutions regardless of the cost impact to the PI proposal for the management of such subcontracts.

(iv) In addition to the *Budget Summary* and in accordance with the *Instructions for Budget Summary* given in Section C.6 of this Appendix, the proposing institution must append at the end of the proposal sufficient details in narrative format to allow a full understanding of the budget. The proposing institution may also append the proposed budget in the format of their choice and without page limit.

(v) NASA is expected to be operating on the basis of full cost accounting as soon as possible, including all Civil Service salaries with overhead. In the interim period, proposals involving NASA and JPL employees as either a PI or as a Co-I should use the accounting method authorized at their institutions at the time proposals are due and for the entire proposed period of performance.

- *Reprints/Preprints*

Unless otherwise specified in Appendix A, a maximum of two reprints and/or preprints for peer-reviewed publication that are considered critical to understanding the background of the proposal may be appended to the proposal. However, even if such items are appended, NASA's peer reviewers are directed to base their judgments of the merits of the proposal only on its *Scientific/Technical/Management Section* and other related parts as described above in this section.

C.6 Forms and Certifications

The following pages contain:

(i) the *Budget Summary* format and *Instructions for Budget Summary* (Note: a reasonable facsimile of the *Budget Summary* may be generated by the proposer for

submission or the electronic form may be downloaded from the Web site that contains this NRA); and

(ii) copies of the three *Certifications* currently required by U.S. Code (Note: these individual *Certifications* are included for reference only and should not be signed and returned; language is now included on the proposal *Cover Page* that confirms that these certification requirements are met once the printed copy of the *Cover Page* is signed by the Authorizing Institutional Representative and submitted with the proposal).

BUDGET SUMMARY for RESEARCH PROPOSAL

For (check one):

___ **Total Period of Performance from (M/D/Y) _____ to _____**

___ **For Year ___ of ___ from (M/D/Y) _____ to _____**

	A	<u>NASA USE ONLY</u>	
		B	C
1. <u>Direct Labor</u> (salaries, wages, and fringe benefits)	_____	_____	_____
2. <u>Other Direct Costs</u> :			
a. Subcontracts	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. <u>Facilities and Administrative Costs</u>	_____	_____	_____
4. <u>Other Applicable Costs</u> :	_____	_____	_____
5. <u>SUBTOTAL--Estimated Costs</u>	_____	_____	_____
6. <u>Less Proposed Cost Sharing</u> (if any)	_____	_____	_____
7. <u>Carryover Funds</u> (if any)			
a. Anticipated amount : _____			
b. Amount used to reduce budget	_____	_____	_____
8. <u>Total Estimated Costs</u>	_____	_____	XXXXXXXX
9. <u>APPROVED BUDGET</u>	XXXXXXX	XXXXXXX	_____

INSTRUCTIONS FOR BUDGET SUMMARY

- Provide a complete Budget Summary (which may include an optional Education/Public Outreach effort) for the total as well as each individual year of the proposed period of performance.
 - Enter the proposed estimated costs in Column A (Columns B & C for NASA use only).
 - Provide, as attachments, detailed computations of all estimates in each cost category with narratives as required to fully explain each proposed cost as follows.
1. Direct Labor (salaries, wages, and fringe benefits): Attachments should list the number and titles of personnel, amounts of time to be devoted to the grant, and rates of pay.
 2. Other Direct Costs:
 - a. Subcontracts: Attachments should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting.
 - b. Consultants: Identify consultants to be used, why they are necessary, the time they will spend on the project, and rates of pay (not to exceed the equivalent of the daily rate for Level IV of the Executive Schedule, exclusive of expenses and indirect costs).
 - c. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the NASA Grant Officer. Any equipment purchase requested to be made as a direct charge under this award must include the equipment description, how it will be used in the conduct of the basic research proposed and why it cannot be purchased with indirect funds.
 - d. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
 - e. Travel: Describe the purpose of the proposed travel in relation to the grant and provide the basis of estimate, including information on destination and number of travelers where known.
 - f. Other: Enter the total of direct costs not covered by 2a through 2e. Attach an itemized list explaining the need for each item and the basis for the estimate.
 3. Facilities and Administrative (F&A) Costs: Identify F&A cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
 4. Other Applicable Costs: Enter total explaining the need for each item.
 5. Subtotal-Estimated Costs: Enter the sum of items 1 through 4.
 6. Less Proposed Cost Sharing (if any): Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
 7. Carryover Funds (if any): Enter the dollar amount of any funds expected to be available for carryover from the prior budget period. Identify how the funds will be used if they are not used to reduce the budget. NASA officials will decide whether to use all or part of the anticipated carryover to reduce the budget (not applicable to 2nd-year and subsequent-year budgets submitted for award of a multiple year award).
- Total Estimated Costs: Enter the total after subtracting items 6 and 7b from item 5.

**Certification Regarding Debarment, Suspension, and
Other Responsibility Matters**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

2. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 3. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 4. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 5. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 6. Have not within three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Lobbying

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

**Certification of Compliance with the NASA Regulations Pursuant to
Nondiscrimination in Federally Assisted Programs**

The (*Institution, corporation, firm, or other organization on whose behalf this assurance is signed, hereinafter called "Applicant "*) hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352), Title IX of the Education Amendments of 1962 (20 U.S.C. 1680 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and the Age Discrimination Act of 1975 (42 U.S.C. 16101 et seq.), and all requirements imposed by or pursuant to the Regulation of the National Aeronautics and Space Administration (14 CFR Part 1250) (hereinafter called "NASA") issued pursuant to these laws, to the end that in accordance with these laws and regulations, no person in the United States shall, on the basis of race, color, national origin, sex, handicapped condition, or age be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives federal financial assistance from NASA; and hereby give assurance that it will immediately take any measure necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by NASA, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which the federal financial assistance is extended to it by NASA.

This assurance is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts, property, discounts, or other federal financial assistance extended after the date hereof to the Applicant by NASA, including installment payments after such date on account of applications for federal financial assistance which were approved before such date. The Applicant recognized and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign on behalf of the Applicant.